



Doc Code:

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Approved for use through 03/31/2007. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/777,451

Filing Date

February 12, 2004

First Named Inventor

Lilip Lau

Art Unit

3762

Examiner Name

Alyssa M. Alter

Attorney Docket Number

PARCR 67465

## ENCLOSURES (Check all that apply)

- Fee Transmittal Form  
 Fee Attached  
 Amendment / Reply  
 After Final  
 Affidavits/declaration(s)  
 Extension of Time Request  
 Express Abandonment Request  
 Information Disclosure Statement  
 Certified Copy of Priority Document(s)  
 Reply to Missing Parts/ Incomplete Application  
 Reply to Missing Parts under 37 CFR 1.52 or 1.53

- Drawing(s)  
 Licensing-related Papers  
 Petition  
 Petition to Convert to a Provisional Application  
 Power of Attorney, Revocation Change of Correspondence Address  
 Terminal Disclaimer  
 Request for Refund  
 CD, Number of CD(s) \_\_\_\_\_  
 Landscape Table on CD

- After Allowance Communication to TC  
 Appeal Communication to Board of Appeals and Interferences  
 Appeal Communication to TC (Appeal Notice, Brief, Reply)  
 Proprietary Information  
 Status Letter  
 Other Enclosure(s) (please identify below):  
**Postcard**

Remarks

24201

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name FULWIDER PATTON LLP

Signature

Printed name

JOHN S. NAGY, ESO

Date

November 15, 2006

Reg. No. 30,664

## CERTIFICATE OF TRANSMISSION/MAILING

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Typed or printed name

JOHN S. NAGY, ESO

Date

November 15, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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*OIR 4207*  
NOV 2 D 2006 (Dode)

Under the Consolidated Appropriations Act, 2005 (H.R.

# FEE TRANSMITTAL for FY 2006

Applicant claims small entity status. See 37 CFR 1.27

|                         |                |
|-------------------------|----------------|
| TOTAL AMOUNT OF PAYMENT | (\\$) \$180.00 |
|-------------------------|----------------|

### Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | 10/777,451        |
| Filing Date          | February 12, 2004 |
| First Named Inventor | Lilip Lau         |
| Examiner Name        | Alyssa M. Alter   |
| Art Unit             | 3762              |
| Attorney Docket No.  | PARCR 67465       |

### METHOD OF PAYMENT (check all that apply)

Check     Credit Card     Money Order     None     Other (please identify): \_\_\_\_\_

Deposit    Deposit Account Number: 06-2425    Deposit Account Name: FULWIDER PATTON LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below     Charge fee(s) indicated below, except for the filing fee

Charge any additional fee(s) or any underpayments of fee(s) under 37 CFR 1.16 and 1.17     Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

### FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

| Application Type | FILING FEES |                       | SEARCH FEES |                       | EXAMINATION FEES |                       |                |
|------------------|-------------|-----------------------|-------------|-----------------------|------------------|-----------------------|----------------|
|                  | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)    | Small Entity Fee (\$) | Fee (\$)         | Small Entity Fee (\$) | Fees Paid (\$) |
| Utility          | 300         | 150                   | 500         | 250                   | 200              | 100                   |                |
| Design           | 200         | 100                   | 100         | 50                    | 130              | 65                    |                |
| Plant            | 200         | 100                   | 300         | 150                   | 160              | 80                    |                |
| Reissue          | 300         | 150                   | 500         | 250                   | 600              | 300                   |                |
| Provisional      | 200         | 100                   | 0           | 0                     | 0                | 0                     |                |

#### 2. EXCESS CLAIM FEES

| Fee Description                                    | Small Entity Fee (\$) | Fee (\$) |
|--|-----------------------|----------|
| Each claim over 20 (including Reissues)            | 50                    | 25       |
| Each independent claim over 3 (including Reissues) | 200                   | 100      |
| Multiple dependent claims                          | 360                   | 180      |

| Total Claims  | Extra | Fee (\$) | Fee Paid (\$) | Small Entity | Fee (\$) | Fee Paid (\$) |
|---|-------|----------|---------------|--------------|----------|---------------|
| - 20 or HP =  | x     | \$9.00   | = \$0.00      |              |          |               |
| HP = highest number of total claims paid for, if greater than 20. |       |          |               |              |          |               |

| Indep. Claims | Extra | Fee (\$) | Fee Paid (\$) |
|---------------|-------|----------|---------------|
| - 3 or HP =   | x     | \$43.00  | = \$0.00      |

HP = highest number of independent claims paid for, if greater than 3.

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listing under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof | Fee (\$)     | Fee Paid (\$) |
|--------------|--------------|--|--------------|---------------|
| - 100 =      | 0 / 50       | 0 (round up to a whole)                          | x \$125.00 = | \$0.00        |

#### 4. OTHER FEE(S)

Non-English specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Third Supplemental IDS

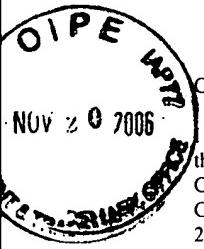
\$180.00

#### SUBMITTED BY

|                   |                  |                                      |        |                   |                |
|-------------------|------------------|--------------------------------------|--------|-------------------|----------------|
| Signature         | <i>John Nagy</i> | Registration No.<br>(Attorney/Agent) | 30,664 | Telephone         | (310) 824-5555 |
| Name (Print/Type) | JOHN S. NAGY     |                                      | Date   | November 15, 2006 |                |

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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John S. Nagy, Esq., Reg. No. 30,664

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/777,451  
Applicants : Lilip Lau, Matthew G. Fishler, Craig Mar  
Filed : February 12, 2004  
Art Unit : 3762  
Examiner : Alyssa M. Alter  
Title : CARDIAC HARNESS FOR TREATING CONGESTIVE HEART FAILURE AND FOR DEFIBRILLATING AND/OR PACING/SENSING

Docket No.: : PARCR 67465  
Customer No. : 24201

Mail Stop AMENDENT  
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P.O. Box 1450  
Alexandria, VA 22313-1450

THIRD SUPPLEMENTAL

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

The documents listed on the enclosed Form PTO/SB/08A have come to the attention of Applicant and are submitted to the Office under 37 C.F.R. § 1.97(b)(3) and § 1.98(d).

This application is a continuation of U.S. Serial No. 10/704,376 filed November 7, 2003.

11/21/2006 ZJUHARI 00000038 10777451  
01 FC:1806  
100.00 OP

The petition fee set forth in 37 C.F.R. § 1.17(p) is enclosed. Please charge any deficiency in fees or credit any overpayment to our Deposit Account No. 06-2425. A duplicate of this paper is enclosed.

Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

By: *John Nagy*  
John S. Nagy  
Registration No. 30,664

JSN:jeb  
Enclosures

Howard Hughes Center  
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146898.1

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Substitute for form 1449A/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

1

| Complete if Known      |                   |
|------------------------|-------------------|
| Application Number     | 10/777,451        |
| Filing Date            | February 12, 2004 |
| First Named Inventor   | Lilip Lau         |
| Art Unit               | 3762              |
| Examiner Name          | Unassigned        |
| Attorney Docket Number | PARCR 67465       |

## U.S. PATENT DOCUMENTS

## FOREIGN PATENT DOCUMENTS

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

48521.1

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO, Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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